



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/711,152	11/09/2000	Patrick Denis Lincoln	1190526-991200

26379

GARY CARY WARE & FREIDENRICH  
PATENT DEPARTMENT (HILLVIEW)  
3340 HILLVIEW AVE  
PALO ALTO, CA 94304

## FORMALITIES LETTER



\*OC000000005686019\*

Date Mailed: 01/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$654.
  - \$414 for 23 total claims over 20.
  - \$240 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1494.

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/20/2001 ENGUYEN1 00000072 09711152  
02 FC:201 355.00 0P  
03 FC:203 207.00 0P  
04 FC:202 120.00 0P  
05 FC:205 65.00 0P



Attorney Docket No.: 1190526-991200

Sector \$

#4

**CERTIFICATE OF MAILING**

Hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 13, 2001.

Cathy Pittman

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Patrick D. Lincoln et al.

Serial No: 09/711,152

Group Art Unit: 2131

Filed: November 9, 2000

Examiner: not assigned

Title: LATTICE-BASED SECURITY CLASSIFICATION SYSTEM AND METHOD

\* \* \*

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF UTILITY PATENT APPLICATION  
AND PETITION UNDER 37 CFR 1.47(A)**

Box MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Four-month Extension This responds to the Notice to File Missing Parts dated January 18, 2001. Pursuant to 37 C.F.R. 1.136(a), the Applicant hereby petitions for a four-month extension of time to respond to the Notice to File Missing Parts.

In response to the "Notice to File Missing Parts of Nonprovisional Patent Application," a copy which is attached, enclosed herewith are the following documents :

1. Power of Attorney
2. Fee transmittal
3. Copy of Notice to File Missing Parts
4. Verified Statement Claiming Small Entity Status
5. Declaration of Patrick D. Lincoln and Steven M. Dawson
6. Declaration of Pierangela Samarati and Sabrina De Capitani di Vimercati

Repln. Ref: 07/20/2001 BNGUYEN1 0018520800  
DAH:071896 Name/Number:09711152  
FC: 704 \$40.00 CR

07/20/2001 BNGUYEN1 00000072 09711152

01 FC:218

695.00 OP

Gray Cary\EM\7080765.1  
1190526-991200

The PTO did not receive the following  
listed item(s) An Assignment sheets.

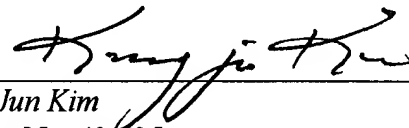
7. Assignment by Patrick D. Lincoln and Steven M. Dawson to SRI International
8. Assignment by Pierangela Samarati and Sabrina De Capitani di Vimercati to SRI International
9. Three (3) checks in the amount of \$695.00, in the amount of \$787.00, and in the amount of \$40.00 for a **total** of \$1522.00 (\$695 extension fee, \$355 basic filing fee for small entity, \$327 for extra claims, \$65 missing parts surcharge, \$80 assignment recordation fees)
10. Return Postcard

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this document is enclosed.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 1-13-01

By   
K. Jun Kim  
Reg. No. 43,335  
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH  
1755 Embarcadero Road  
Palo Alto, CA 94303-3340  
Telephone: (650) 833-2433



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$1522.00)

## Complete if Known

Application Number	09/711,152
Filing Date	November 9, 2000
First Named Inventor	Patrick D. Lincoln, et al.
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	1190526-991200

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 07-1896  
Deposit Account Name: Gray Cary Ware & Freidenrich LLP

- ☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$ 355)

### 2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
	43	-20** = 23	9	207
Independent Claims	6	-3** = 3	40	120
Multiple Dependent		X		

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
				** Reissue claims in excess of 20 and over original patent
110	18	210	9	
SUBTOTAL (2) (\$ 327)				

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination.	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	695
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	11	0240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unavoidable	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Strms	
581	40	581	40	Recording each patent assignment per property (times number of properties)	80
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 840)

## SUBMITTED BY

Name (Print/Type) K. Jun Kim

Signature

Registration No. (Attorney/Agent)

43,335

## Complete (if applicable)

Telephone 650/320-7419 or 650/833-2000

Date July 13, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box



PTO/SB21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

#5

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/711,152
	Filing Date	November 9, 2000
	First Named Inventor	Patrick D. Lincoln, et al.
	Group Art Unit	unknown
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	1190526-991200

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment with Appendix A attached <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Associate Power of Attorney, <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Two (2) Declaration and Power of Attorneys; Two (2) Recordation Form Cover Sheets Check #482431 for \$787.00 Check #482572 for \$40.00 Check #482589 for \$695.00 Return Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	K. Jun Kim (Reg. No. 43,335) Gray Cary Ware Freidenrich LLP		
Signature			
Date	July 13, 2001		

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

Typed or printed name	Cathy Pittman		
Signature		Date	July 13, 2001